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Determination of Training Requirements — **Personnel Security Specialists (Adjudicators)**

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by

Joanne Marshall-Mies

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<p>In response to concerns about the reliability and validity of the personnel security clearance review process, the Personnel Security Research and Education Center (PERSEREC) as part of its research program sponsored this study titled "Determination of Training Requirements--Personnel Security Specialists (Adjudicators)." The specific objective was to identify ways to enhance on-the-job performance of adjudicators through training and skill development/maintenance. The overall approach was to conduct exploratory interviews with four selected DoD components responsible for personnel security clearance determinations.</p> <p>The report presents interview findings separately for each of the four agencies, followed by a discussion of findings across the four agencies. Areas addressed include population description and organizational structure, types of cases handled and workload.</p>					
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source of new hires, data base access/development, training, and special agency needs. It was found that although each of the agencies interviewed has some of the components of a complete adjudicator enhancement program, none has an integrated personnel system that provides for the recruitment, selection, development and promotion of adjudicators. The report examines the extent to which components of such an integrated system exist and describes information relevant to each component. The summary covers seven components: the job of the adjudicator, procedures/guidelines, adjudicator recruitment and selection, adjudicator training and skill development/maintenance, performance assessment, career development, professionalism and certification. The last chapter presents programmatic recommendations to meet both short-term and long-term goals. The short-term goals include initiation of a job description information data base, and the development of materials and programs to meet selected critical needs. The long-term goals are two-fold: (1) development of a fully-integrated program for enhancing professionalism and job performance of adjudicators; and (2) development of a management information system (MIS) for the continued monitoring and updating of the adjudication program.



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The PERSEREC research agenda in adjudication is a broad-based effort directed towards improving the consistency and reliability of adjudication. The plan includes a determination of both the performance requirements of the job and the qualifications of the jobholders with a view towards enhancing adjudicator performance.

The following report recounts an exploratory study of the training requirements of DoD adjudication as perceived by managers and adjudicators. The study was conducted in October, 1986, by contractors from HumRRO, International. Recommendations from the study have served as a blueprint for PERSEREC research initiatives to construct a management information system of critical elements of adjudication.

This report is a snap-shot of adjudication training needs as they existed in 1986. Many changes have been made since then. Training officers have been appointed at Central Adjudication facilities. The Basic Personnel Security Adjudication Course developed by DoD Security Institute holds its inaugural class in October 1988, and PERSEREC has conducted further research to identify the critical tasks of adjudicators and the skills needed to perform those tasks. As such, this report is a reminder of training and research objectives for DoD adjudication following the Stilwell Commission report. It serves as a bench mark against which to measure progress.

Carson K. Eoyang
Director

June 1987

DETERMINATION OF TRAINING REQUIREMENTS-- PERSONNEL SECURITY SPECIALISTS (ADJUDICATORS)

Prepared by Joanne Marshall-Mies

Summary

Issue and Problem

The Stilwell Commission (1985) established requirements for improving the consistency and reliability of adjudication decisions as well as establishing training and career development pathways for personnel security specialists. These requirements were incorporated into a PERSEREC research agenda to identify the relevant qualifications, characteristics, and capabilities of adjudicators, and develop selection and training guidelines. The first step in implementing this research plan was to conduct an exploratory study of the contextual features of adjudication and formulate a research plan that would lead to the enhancement of adjudicator performance. The following report details an early study of DoD requirements that was performed in October, 1986.

Objective

The objective of the study was to identify ways to enhance on-the-job performance of adjudicators through training and skill development/maintenance. Specific tasks were to describe current training, identify and summarize training issues, describe conceptual approaches to satisfy training needs, and report additional issues identified during the research.

Approach

Interviews were conducted with managers and adjudicators at Army Central Clearance Facility, Navy Central Adjudication Facility, Air Force Intelligence Service, and Directorate for Industrial Security Clearance Review. Topic areas were population identification, job description, skill acquisition/retention, workload and performance issues, application of adjudication guidelines, working environment, job and training documentation, training and performance issues, data available for decision making, and other issues.

Results

This study indicates that as a career area adjudication has been neglected for many years and has a requirement for a dynamic enhancement program. Critical needs are identified for training programs that emphasize skill acquisition and maintenance, for core materials that facilitate decision-making, for historical data bases of adjudicator decisions, and for certification and development programs. It is recommended that an automated Adjudicator Management Information System be developed to integrate the dimensions of adjudication. Suggestions are provided for constructing requisite data bases.

Foreword

Appreciation is expressed to those individuals who helped to make this research effort run so smoothly. In particular, we would like to thank Dr. Ralph Carney, Project Manager from the Personnel Security Research and Education Center (PERSEREC). Dr. Carney coordinated the effort and arranged for contacts and interviews at the key agencies. We also would like to thank Dr. Howard McFann who provided valuable guidance in the conception of this research in late 1986. Dr. McFann is currently Chief of the Army Research Institute Presidio of Monterey Field Unit.

We appreciate those who so willingly gave of their time and effort to provide information to the interviewers. In particular, we would like to thank Ms. Bette Lyons from the Army Central Clearance Facility (CCF), CAPT George Jackson from the Navy Central Adjudication Facility (NCAF), Mr. James Brown and Ms. Charlene Khron from the Directorate for Industrial Security Clearance Review (DISCR), and Mr. Coy Williamson and MAJ Richard Bloom from the Headquarters Air Force Intelligence Service (HQAFINS). In addition, we would like to express our appreciation to the adjudicators who participated in group interviews at CCF and NCAF and in the training session at HQAFINS. Without the knowledge and willing cooperation of these experts, this study could not have been completed.

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CHAPTER I

Introduction

Background

In recent years concerns about the reliability and validity of the personnel security clearance review process have been addressed by a number of agencies including those responsible for the adjudication process in which security clearance/access determinations are made. For example, in *Keeping the Nations Secrets* (Department of Defense, FY85), a requirement was established to improve the adjudication process in which security clearance determinations are rendered. In addition, this report presented the following recommendations:

- o Necessary research and other actions be undertaken to develop more precise and effective adjudicative standards.
- o Develop and conduct standardized mandatory training for all adjudicators.
- o All training in the security area should result in appropriate certifications by DoD.
- o The professionalism of security personnel must be enhanced.

Consistent with these recommendations, DoD Regulation 5200.2-R required that centralization of the adjudicator process within agencies be established.

In response to these concerns in the personnel security area, DoD Directive No. 5210.79 (February 1986) established the Personnel Security Research and Education Center (PERSEREC) to "perform security research and analysis for DoD, and furnish educational assistance, instruction, and advice on personnel security matters to DoD components. Specifically PERSEREC is to encourage researchers in DoD components to enter into joint personnel security research projects that have defense-wide implications, thereby stimulating research and reducing duplication of effort."

As part of its research program, PERSEREC has undertaken a number of efforts to address the previously stated DoD requirements. One of these efforts is described in the present report. This study was titled "Determination of Training Requirements-- Personnel Security Specialists (Adjudicators)."

The Present Report

The chapters to follow describe an exploratory study designed to identify ways to enhance on-the-job performance of adjudicators through training and skill development/maintenance. A front-end analysis was conducted to ensure training recommendations would be consistent with the overall context of the adjudicator's job.

Chapter II presents an overview of the study objectives, its scope, approach, and sample selection. Chapter III presents profiles of the four DoD component security agencies interviewed. These profiles cover information concerning the population and organizational structure, types of cases and workload, data base access/development, training, and special needs. In Chapter IV, there is a discussion of the major study findings and identified needs. Areas covered include the job of the adjudicator, standards and criteria, procedures and guidelines, recruitment and selection, training and skill development/maintenance, performance assessment, career development, professionalism, and certification.

The last chapter (Chapter V) presents programmatic recommendations to meet both short-term and long-term goals. The short-term goals include initiation of a job description information data base, and the development of materials and programs to meet selected critical needs. The long-term goals are two-fold: (1) development of a fully-integrated program for enhancing professionalism and job performance of adjudicators; and (2) development of a management information system (MIS) for the continued monitoring and updating of the adjudication program.

CHAPTER II

Methodology and Approach

Study Objectives

The objective of the study was to identify ways to enhance on-the-job performance of adjudicators through training and skill development/maintenance. Specific tasks to be undertaken were:

- o Describe current training of adjudicators
- o Identify and summarize training issues
- o Describe alternative conceptual approaches to satisfy training needs.
- o Report any additional issues identified during the research.

Study Approach

To meet the objectives stated above, an approach was designed that provided broad coverage of the context in which adjudicator training and skill development/maintenance take place. This context includes the adjudicator population, characteristics of the job performed by adjudicators, current training and career development programs, work load and performance issues, and other factors affecting adjudicator performance.

The overall approach was to conduct exploratory interviews with selected DoD components responsible for personnel security clearance determinations. The components selected for these interviews were:

1. Army Central Personnel Security Clearance Facility (CCF)
2. Headquarters Air Force Intelligence Service (HQAFINS)
3. Navy Central Adjudication Facility (NCAF)
4. Directorate for Industrial Security Clearance Review (DISCR)

All of the interviews were conducted in the Washington, DC area with two researchers visiting each agency.

Interviews were pre-scheduled at each agency to last two to three hours. During that time, the goal was to gather as much information as possible relevant to the design and conduct of training for adjudicators. To ensure coverage of all desired topics, an interview guide was developed prior to the conduct of the interviews. This guide, presented as Table 1, covered ten major topic areas:

1. Population identification
2. Job description
3. Skill acquisition/retention
4. Workload and performance issues
5. Application of adjudication guidelines
6. Working environment
7. Documentation on job and training
8. Major training and performance issues
9. Data available on adjudicator decisions, performance, training, etc.
10. Other issues/concerns of the agency.

The interviews were conducted using an interactive discussion type format. This open format provided opportunity for the expression of the specific needs or concerns of each agency.

Sample

Table 2 summarizes the number of individuals interviewed at each of the four locations. At the CCF, interviews were conducted with the Division Chief and with a group of approximately 13 adjudicators, ranging in experience from Branch Chiefs and Team Leaders to less experienced adjudicators. At the NCAF, a group interview was conducted with the Division Chief and three senior level adjudicators or Branch Chiefs. At HQAFINS, the primary interview was held with the Deputy Adjudicator Branch Chief and the Training Officer; in addition, a training session with 10 experienced adjudicators was observed. At DISCR, a lengthy interview was conducted with the Directorate Chief and one of the two Division Chiefs.

In summary, a total of 33 different individuals participated in the interviews. This provided a broad perspective from each of the four organizations.

TABLE 1

Adjudicator Training Study Interview Guide

1. Population Identification
Occupation Series.
Number by level: Trainees, Journeymen, Sr. Adjudicators, and Managers.
Where do they come from? Requirements?
 2. Job Description
Job Descriptions or other written materials.
Major Duties.
Tasks and Subtasks.
Skills required to perform tasks.
Types of individuals with whom adjudicators interface.
Are these different for dealing with different types of clearances? e.g., Collateral, SCI, Other.
 3. Skill Acquisition/Retention
How are the skills learned at different levels?
How are the skills further developed? Maintained and updated?
Current training program? When does it occur? Format--OJT, classroom, seminars, etc. Areas in which most and least effective?
Recommendations for development of training.
Training skills vs. training aids.
 4. Workload and Performance Issues
Describe "best" vs. "worst" performing adjudicators.
Criteria or standards used? number of cases, number of rejections, time spent on average case?
What are major performance issues or concerns?
Do career paths exist? time in grade, training, etc.
 5. Application of Adjudication Guidelines
Significant derogatory information categories (e.g., Financial Irresponsibility, Criminal Conduct, Sexual Misconduct).
How do you apply the stated criteria and mitigating factors?
How are these factors reconciled, weighted? Is this a function of seriousness, recency, motivation, voluntary nature, knowledge or circumstances, likelihood that conduct will continue, etc.?
 6. Working Environment
Supervision, Equipment (use of computers).
 7. Gather Documentation on Job and Training
 8. Major Training and Performance Issues
 9. Data Available on Adjudication Decisions, Performance, Training, etc.
 10. Other Issues/Concerns of Agency
-

TABLE 2

Interview Sample

<u>Agency</u>	<u>Types of Individuals Interviewed</u>		
	<u>Sr. Level Management</u>	<u>Experienced Adjudicators</u>	<u>Training Officers</u>
CCF	1	13	-
NACF	1	4	-
HQAFINS	1	10	1
DISCR	2	-	-
	—	—	—
Totals	5	27	1

CHAPTER III

DOD Component Security Agency Profiles

This chapter presents interview findings separately for each agency, followed by a discussion of findings across the four agencies. Areas to be addressed include:

- o Population description and organizational structure
- o Types of cases handled and workload
- o Source of new hires
- o Data base access/development
- o Training
- o Special agency needs

It is important to note that although all four agencies share a common objective, they have evolved along different paths depending upon their specific requirements and resources.

Individual Agency Profiles

Army Central Personnel Security Clearance Facility (CCF)

Table 3 presents a profile of information on the CCF. This is the largest DoD clearance facility in terms of the numbers of adjudicators, their work load, and the types of cases handled.

The CCF adjudicator population consists of approximately 58 persons. Trainees enter the system as GS-5s and progress to Personnel Security Specialists (GS-9/11). These Personnel Security Specialists (adjudicators) are organized into three five-person teams with a GS-12 team leader within each Branch. There are three branches, each headed by a GS-13 Branch Chief.

TABLE 3

Army Central Personnel Security Clearance Facility Summary

POPULATION:	<i>N = 57 (1, GS-14; 3 GS-13; 21 GS-11; 23 GS-9)</i>
ORGANIZATION:	<i>GS-14 Division Chief; 3 GS-13 Branch Chiefs; each branch composed of 3 GS-12 Team Leaders with 5 Personnel Security Specialists or Assistants (GS-9/11)</i> <i>-Trainees are GS-5</i> <i>-No Attorneys on staff</i>
WORKLOAD:	<i>9,900 Cases a month with 70 - 80% favorable.</i> <i>In FY86 revoked 3,676 Collateral and 1,121 SCI.</i>
SOURCE OF NEW HIRES	<i>Wide variety from agency clerical to outside experienced investigators</i>
TYPE OF CASES:	<i>Handle derogatory Collateral and SCI cases. In addition, handle special programs (e.g., Personnel Reliability Program, White House/Presidential Support, Military Intelligence Branch Acceptance, Personnel Security Screening, and General Officer Selection).</i>
DATA BASE DEVELOPMENT	<i>Personal data on individuals is not retained by CCF; all information is either destroyed, returned to the investigative agency, or forwarded to US Army Investigative Records Repository. Record retrieval is possible with name and SSN identifiers.</i>
TRAINING:	<i>At lower levels (GS-5/7/9) each team trains its own by working one-on-one with an experienced adjudicator. Trainees also attend selected formal training classes presented locally and by Office of Personnel Management (OPM) in communications skills and other general subjects. Training classes covering guidelines and case processing procedures are conducted by supervisory and experienced adjudicators as needed. Supplemental training through correspondence courses offered by Army schools is encouraged. Dept of Army intern trainees attend Military Intelligence Officer Basic Training Course (MIOBC).</i> <i>-For journeymen adjudicators weekly training sessions are held with Team Leaders to discuss errors, problems, precedents, etc.</i> <i>-Special sessions are held with subject matter experts (e.g., Psychologists, Drugs and Alcohol).</i>
SPECIAL NEEDS	<i>CCF handles a wide variety of cases under varying conditions. For example, telephone adjudication for Personnel Security Screening Program of people enlisting in the Army requires very quick response and depth of knowledge.</i> <i>Each new adjudicator must collate information from many sources. Learning to apply the information is difficult due to the number of sources.</i>

CCF adjudicators enter with a wide variety of background education and experience. For example, many of these individuals have extensive prior experience as investigators or adjudicators for other agencies. On the other hand, a large number of new hires are promoted from clerical jobs both within and outside of CCF. There are no lawyers on the staff.

Of the agencies interviewed, CCF handles the largest variety of cases including:

- o Secret and Top Secret Clearance Determinations (referred to as collateral cases)

- o Access to Sensitive Compartmented Information (referred to as SCI cases)
- o Special Programs (e.g., General Officer Screening, White House/Presidential Support).

Workload is very heavy; CCF handles over 9,900 cases a month. Cases cover both positive and derogatory information, with 70-80 percent favorable determinations. If a favorable determination is made based on an investigation and no supplemental adjudicative information (e.g., additional information from the command psychiatric/alcohol/drug evaluation, etc.) is created, all investigative material is destroyed or returned to the investigative agency. If an unfavorable personnel security action is taken or other pertinent noninvestigative material exists, an adjudicative file is forwarded to the US Army Investigative Records Repository to create an Army dossier. These files may be requested by CCF and other Government agencies. No files are retained by CCF.

Given the heavy workload and large variety of cases handled, CCF has special training requirements. Each adjudicator must be able to handle a variety of cases and, under certain circumstances, to quickly determine the acceptability of a given individual as a security risk. For example, some adjudicators handle telephone inquiries for the Personnel Security Screening Program for people enlisting in the Army. This requires an in-depth knowledge of the issues and decision criteria related to security determinations, a quick assessment of the particular case, and capable decision making skills.

CCF has been developing and implementing its own training program. Entry-level adjudicators are assigned to a team and receive both in-house training with formal classes and on-the-job training through a working relationship with an experienced adjudicator or mentor. The training classes began in March 1987 and consist of intensive training for 3 to 5 days on a particular type of subject or case; case files are used as training instruments. The training program is supplemented by Army correspondence courses selected by the supervisor to meet the needs of the specific trainee. Department of Army Intern trainees attend the six-month Military Intelligence Basic Officer Course, but they are the only entry level adjudicators to do so. For the more experienced Team Leaders, weekly sessions are held to discuss errors, problems, precedents, etc. In addition, special sessions are held with subject matter experts to discuss topics such as drug and alcohol abuse/rehabilitation and mental disorders.

CCF management is faced with a situation in which there are very few personnel available to conduct an extensive training effort. In addition, CCF is faced with a broad range of training requirements due to the wide range of adjudicator experience and the variety of cases. This situation makes it difficult to ensure all adjudicators are acquiring the same "skills" and are applying these skills in a consistent manner.

CCF noted a particular concern about the large number of reference materials required in the adjudication process. In addition to Personnel Security Regulations (DCID 1/14, DoD 5200.2-R, AR604-5, AR604-10, etc.) CCF adjudicators must be familiar with personnel regulations governing acceptance and removal from employment and military service (active and reserve components); nuclear, chemical and ADP surety programs; security requirements for Military Occupational Specialties, reference materials covering drug and alcohol programs and mental and emotional disorders; and numerous policy messages and memoranda by Deputy Chief of Staff, Intelligence (DCSINT) and Deputy Chief of Staff Personnel (DCSPER), Headquarters, Department of the Army (HQDA) and the Office of Under Secretary of Defense, Policy (OUSD (P)). Since these materials are contained in a number of separate documents, each adjudicator must "build" his/her own reference library with the materials provided. A desk reference manual could greatly assist the adjudicator to quickly gain access to the required materials or information. Also, adjudicators could be assisted by an on-line computerized data base containing document references, similar cases by determination criteria, information resources, etc.

Headquarters, Air Force Intelligence Service (HQAFINS).

Table 4 presents a profile of information on the HQ AF/INS which has an adjudicator population of 12-15. Trainees enter the system as GS-5/7 and progress to journeymen adjudicators as GS-9. Adjudicators work in four, three or four person teams, headed by a GS-11 Team Chief. The four teams are organized into a Branch with a GS-12 Branch Chief. The Branch Chief is under the supervision of a GM-13, Deputy Division Chief.

Most entry-level adjudicators come from clerical jobs. It is rare for this agency to hire an experienced investigator or adjudicator from another agency. Two Air Force clinical psychologists and an Air Force Reservist lawyer provide periodic training and advice to adjudicators and supervisory personnel.

HQ AF/INS handles all SCI cases, including both favorable and derogatory. It does not handle collateral clearances; those are handled by the Air Force Security Clearance Office (AFSCO) under the Air Force Security Police. The workload at HQ AF/INS is very heavy, processing about 2,500 cases a month and leaving a constant backlog.

Training at HQ AF/INS is similar to other agencies. There is a recently established formal training section to which new adjudicators are assigned for close monitoring of their progress and development of adjudication skills. New hires are required to summarize information and to make decisions with clean cases-that is, those that would ordinarily be approved. Then they move on to more difficult cases gaining increased authority to make final decisions. Additionally, trainees complete formal

adjudication training courses or seminars, conducted by outside agencies, before they are certified as journeymen adjudicators at the GS-9 level.

HQ AF/INS has been carrying out a unique training program. This training consists of regular group meetings of experienced adjudicators. The adjudicators are given a "mock" case to review prior to the meeting. At the meeting, they discuss various criteria for decisions on the case. The emphasis is on determining whether or not each piece of information suggests unreliable behavior on the part of the individual or is likely to lead to some type of exploitation on the part of the individual concerned. Of particular interest is their effort to summarize and quantify both derogatory and positive information in the disposition of the case.

HQ AF/INS expressed the need for continued emphasis on training and decision-making to assist in the full development of professional SCI adjudicators.

TABLE 4

Headquarters Air Force Intelligence Service (HQ AF/INS) Summary

POPULATION:	<i>N = 12-15 (1 GM-13; 2 GS-12; 4 GS-11; 10 GS-5 thru 11)</i> <i>Two part-time clinical psychologists on staff.</i> <i>One part-time Air Force Reservist lawyer on staff.</i>
ORGANIZATION:	<i>GM-13, Deputy Division Chief; two GS-12 Branch Chiefs; four GS-11 Team Chiefs; 10 GS-5 thru 9 Adjudicators and trainees.</i>
WORKLOAD:	<i>2,500 cases a month with constant backlog.</i>
SOURCE OF NEW HIRES:	<i>Most entry-level adjudicators are clerks. Do not normally get experienced investigators or adjudicators.</i>
TYPES OF CASES:	<i>Handle all SCI cases, including favorable and derogatory.</i>
DATA BASE DEVELOPMENT:	<i>Currently in the process of developing a computer data base.</i>
TRAINING:	<i>New hires are required to summarize information and make a recommendation or decision with clean cases--those that would normally be approved. They move on to more difficult cases over time increasing authority to make final decisions.</i> <i>Have regular group meetings of adjudicators to review a "mock" case and to discuss criteria for decisions. This includes a process for summarizing information on the case.</i> <i>Have an established formal training program to which new hires are assigned for close monitoring of work and the development of adjudicator skills. Adjudicators stay in training until they are "graduated" to requiring only minor supervision and monitoring of work.</i>
SPECIAL NEEDS	<i>Continue with a comprehensive and well-developed training program, to include formal course and seminars presented by Air Force and other agencies.</i>

Navy Central Adjudication Facility (NCAF).

Table 5 presents a profile of information on the NCAF. NCAF is the youngest of the centralized DoD clearance facilities, having been established as a central facility during the latter part of 1986. Prior to this time, the Navy clearance process was decentralized and all clearance authorizations were granted at the command level.

When fully staffed, the NCAF expects to have an adjudicator population of approximately 58. Trainees will enter the system as GS-5/7s and progress to GS-11 Personnel Security Specialists. These Personnel Security Specialists will be organized into three five-person teams with a GS-12 Team Leader. There will be three branches, each headed by a GS-13 Branch Chief and consisting of three teams. The three branches constitute the Division, headed by a GS-14 Division Chief.

At the time of the interviews, the NCAF applicant pool varied from clerks to college graduates with no experience to senior experienced adjudicators, attorneys, and investigators. Once NCAF has been fully staffed, it is anticipated most new hires and promotions will come from within the agency--often from the clerical staff. NCAF handles only derogatory collateral cases. While the workload was very light at the time of the interviews, it is expected to become heavy over a very short period of time.

Currently proposed training will require a new hire to start by inputting data into a Defense Investigative Service (DIS)-located data base. This data base is unique in that it includes case profiles with the 10 DoD decision criteria and individual demographics. Known as the Joint Adjudication Clearance System (JACS), these data should prove very useful for future analysis of clearance determinations, performance domains, etc. Once the trainee is ready to progress, he/she will work one-on-one with an experienced adjudicator, studying and reviewing increasingly more difficult cases.

Being a newly developing facility has both advantages and disadvantages for NCAF. On the positive side, being a new organization has provided an opportunity for NCAF to learn from other agencies and to institute innovative ideas. For example, NCAF is implementing a complete data base on all cases handled, coding these cases by the 10 decision criteria. On the negative side, the work load is expected to increase rapidly at a time when NCAF is still hiring and implementing its policies and procedures. NCAF foresees a need for training adjudicators to make both threshold and boundary decisions with special emphasis on remaining objective--that is, keeping personal feelings and prejudices out of the decision-making process. NCAF also expressed an interest in the development of diagnostic instruments to assess reading comprehension, information analysis, and writing skills. These diagnostic tools would be used for hiring purposes.

TABLE 5

Navy Central Adjudication Facility (NCAF) Summary

POPULATION:	<i>N = 58 (1, GS-14; 3 GS-13; 9 GS-12; 45 GS-5-11)</i>
ORGANIZATION:	<i>GS-14 Division Chief; 3 GS-13 Branch Chiefs; each branch composed of 3 GS-12 Team Leaders with 5 Personnel Security Specialists or Assistants (GS-5-11)</i> <i>Trainees are GS-5-7</i>
WORKLOAD:	<i>NCAF is a newly centralized organization so at the present time the case load is light.</i>
SOURCE OF NEW HIRES:	<i>At the present time, the applicant pool varies from clerks to college graduates with no experience to experienced adjudicators, attorneys, and investigators</i> <i>Once NCAF has been fully staffed, most of the new hires and promotions are expected to come from within the agency.</i>
TYPE OF CASES:	<i>Handle derogatory collateral cases.</i>
DATA BASE DEVELOPMENT:	<i>A unique data base is being maintained at DIS in Baltimore. This data base includes case profiles with codes for the 10 DoD decision criteria and individual demographics. The data will be input and accessed from NCAF.</i>
TRAINING:	<i>At lower levels (GS-5-7), the trainees will start by imputing data into the system. Then, they will move onto working one-on-one with an experienced adjudicator studying and reviewing increasingly more difficult cases.</i>
SPECIAL NEEDS:	<i>NCAF adjudicators need assistance on making both threshold and boundary decisions.</i> <i>Have a particular interest in diagnostic instruments to access reading comprehension and information analysis. Training in writing skills also is needed.</i>

Directorate for Industrial Security Clearance Review (DISCR).

Table 6 presents a profile of information on DISCR. DISCR is a unique personnel security agency. It is a part of Defense Legal Service Agency (DLSA) and has a complement of trial attorneys and administrative hearing examiners who provide final determination for clearance denials of industrial personnel. Interviews were conducted only with the Arlington, VA, facility where all derogatory collateral cases are handled. The initial threshold decisions are made at Columbus, OH. Those cases that are determined to contain derogatory information and require further adjudication are forwarded from Columbus to Arlington.

The DISCR population is approximately 46. There are 23 GS 11/13 adjudicators in Columbus handling threshold decisions and 5 in Arlington handling derogatory case disposition. In Arlington, there are 5 personnel security specialists, 15 attorneys, and 9 examiners. Of all the groups interviewed, this was the only agency that had attorneys

working full time reviewing Statements of Reason (SORs) and preparing cases for hearings and possible appeals.

DISCR handles only collateral cases. Both the Columbus and the Arlington groups are able to keep up with the workload, with Columbus handling all cases within 5 working days.

Training is similar to that of other agencies. For a given set of cases, new trainees are asked to summarize all unfavorable information and to make a recommendation. The supervisor then approves/disapproves the recommendations and explains why. The decisions are then transferred to a senior adjudicator for processing.

DISCR has developed a procedure that results in a structured approach to the development and dispensation of a case with derogatory information. This procedure requires the adjudicator to quote the decision criteria from 5200.2-R and to list specific behaviors linked to these criteria. While not directly designed to be a training aid, these formats have resulted in more consistent application of criteria across adjudicators. As with other agencies, the Columbus adjudicators lack expertise in legal issues related to adjudication. Since many of DISCR's cases result in hearings and appeals, DISCR must pay special attention to the legal aspects of the case.

DISCR expressed a need for further development of training courses and materials. Specifically, they stated a need for training in the application of the basic decision criteria. Their data base of exemplary cases would be a great asset in the development of such materials. DISCR also expressed concerns about the level of adjudicator knowledge concerning legal matters as evidenced by the fact that SORs prepared in Columbus often do not reflect an understanding of the legal aspects of the case. Another topic of discussion was the certification of adjudicators. Institution of such a process will require an integrated program of adjudicator selection, training, development, qualification, and certification.

TABLE 6

Directorate for Industrial Security Clearance Review Summary
(DISCR)

POPULATION:	<u>Columbus, Ohio:</u> N = 23 Personnel Security Specialists (GS-11-13) <u>Arlington, VA:</u> N = 5 Personnel Security Specialists (GS-11-13) 15 Attorneys 9 Hearing Examiners 3 Division Chiefs (GS 14-15)
WORKLOAD:	At present time, Columbus division is able to keep up with cases within 5 working days.
SOURCE OF NEW HIRES:	Wide variety from agency clerical to attorneys.
TYPE OF CASES:	Handles collateral cases. The initial threshold decision as to whether or not the information is derogatory is made at Columbus, Ohio. If the case is positive, the person is cleared and the case never goes to Arlington, VA. If the case contains derogatory information, a statement of reason is written and the case is forwarded to Arlington, VA.
DATA BASE DEVELOPMENT	DISCR has computerized file of all cases that go to hearings. These cases are cross-indexed by 14 different criteria (e.g., criterion is habitual or episodic use of intoxicants to excess, drug addiction or drug abuse).
TRAINING:	For a given set of cases, new trainees are asked to summarize all unfavorable information and to make a recommendation. The supervisor then approves/disapproves the recommendations and explains why. The decisions are then transferred to a Sr. Adjudicator for processing.
SPECIAL NEEDS	DISCR adjudicators must quote the decision criteria from the DoD directive and list the behaviors that are linked to these criteria across adjudicators. Often the Columbus adjudicators do not understand the legal aspects of cases.

Summary of Agency Profiles

While the agencies have their own unique characteristics, populations, work loads, etc., they have much in common in terms of jobs they are required to accomplish. These similarities transcend type of caseload, numbers of cases handled, and procedures. In the following paragraphs, the descriptive information presented above by individual agency is summarized across agencies.

Population and Organizational Structure.

As shown in Table 7, populations and the organizational structures are similar for three of the four organizations interviewed (i.e., CCF, HQAFINS, and NCAF). Each

Division consists of one or more Branches headed by a GS-13 Branch Chief. These Branches each consist of one or more five-person teams headed by a GS-12 Team Leader.

TABLE 7

Population Description Across Agencies

<u>Grade</u>	<u>Agencies</u>				TOTAL
	CCF	HQAFINS	NCAF	DISCR*	
GS-5, Trainees					
GS-9/11, Adjudicators	45	10	45	9	109
GS-12, Team Leaders/ Adjudicators	9	2	9	8	28
GS-13, Branch Chief Adjudicators	3	1	3	11	18
GS-14, Division Chief	1	1	1	3	6
Lawyers on Staff	-	-	-	15	15
Total	58	14	58	46	176

As noted, DISCR in Arlington is the only agency with full-time attorneys and hearing examiners on their staff. They are the only legal professionals involved with the legal preparation and adjudication of cases. Given the concerns expressed by the other three agencies, there is an evident need for training and/or expertise concerning legal aspects of the adjudication process. Adjudicators in all agencies are very concerned about the possibility of having to testify in court.

Across DoD new hires consist primarily of individuals without prior experience in the investigative or adjudication fields. Often, these new hires come from clerical

*Includes population located at DISCO in Columbus, OH and DISCR in Arlington, VA.

positions within the agencies. Exceptions to this pattern are seen at the CCF where some experienced investigators and/or adjudicators from other agencies are hired and at DISCR where attorneys and other individuals with legal expertise are hired.

Types of Cases and Workload.

Table 8 summarizes the types of cases handled and the workload of the four agencies. Keep in mind that the NCAF is a new agency so these data will change very quickly as the agency begins to come up to speed.

The types of cases vary from agency to agency. Collateral cases are handled by CCF, NCAF, and DISCR. SCI cases are handled by CCF and HQAFINS. Although collateral and SCI cases involve similar decision-making skills, they are governed by two separate regulations. DoD Directive 5200.2-R lists criteria for making determinations about collateral clearances. This document has recently been revised to include more specific criteria for derogatory information as well as mitigating factors. The Director of Central Intelligence Directive No. 1/14 describes criteria for making determinations about SCI access. There are differences in opinion as to the comparative clarity of these two documents and the difficulty of the decision-making processes. Nevertheless, all four agencies indicated a need for further delineation and guidance in the application of criteria. A training effort aimed at defining these criteria would benefit all adjudicators.

TABLE 8

Types of Cases and Workload Across Agencies

<u>Agency</u>	<u>Types of Cases</u>				<u>Workload</u>
	<u>Collateral</u> <u>Initial</u>	<u>Derogatory</u>	<u>SCI</u>	<u>Special</u> <u>Programs</u>	
CCF	X	X	X	X	HEAVY
NCAF		X			LIGHT
HQAFINS			X		HEAVY
DISCR					
--Columbus	X				AVERAGE
--Arlington	X				AVERAGE

Data Base Access/Development.

The four agencies differ markedly in the retention, access, and availability of data relevant to the adjudication process. One of the major drawbacks to research on the adjudication process is the lack of solid data on previous clearance and access determinations. For example, the CCF does not physically retain its data. All data for cases processed by CCF are filed in the US Army Investigative Records Repository (IRR) and is retrievable only when name and SSN of the subject are known. Likewise, HQAFINS does not have a systematic data base of historical data.

Some recent data automation efforts by the NCAF and DISCR should prove invaluable in the future. NCAF is recording all case profiles with codes for the 10 DoD criteria and individual demographics. These data are being maintained at DIS in Baltimore and are to be input and accessed from NCAF. DISCR has started to develop a computerized file of all cases that go to hearings. These sanitized cases are cross indexed by 14 different criteria. DISCR also has compiled a set of exemplary cases that could be reviewed and accessed for use in training development.

Training.

Training appears to be very similar across the agencies. For new hires/trainees, there are no standardized training courses. Instead, agencies depend heavily on a case-by-case review process in which the trainee reviews and summarizes information, starting with simple and moving to more difficult cases. Mentoring, or one-on-one training by experienced adjudicators, appears to be the other primary mode used to train new hires. However, no agency mentioned the existence of standardized procedures for selecting, assigning, and training mentors.

Recent efforts have resulted in several different training programs for more experienced adjudicators. For example, a number of adjudicators interviewed had attended the SCI training course presented in Warrenton, VA., conducted by NSA. These courses provide an opportunity for adjudicators from different agencies to discuss adjudication procedures and issues. In addition to these existing courses, a Joint Working Group consisting of representatives from the various services and DISCR is developing a standardized course for experienced adjudicators under the auspices of the DoD Security Institute in Richmond VA.

Some agencies conduct special training sessions with experienced adjudicators. For example, CCF holds weekly training sessions with Team Leaders to discuss errors, problems, precedents, etc. HQAFINS holds regular group training sessions to review "mock" cases and to discuss ways to summarize the information on the cases including both derogatory and mitigating factors. Also, CCF holds special training sessions with

subject matter experts to cover specific areas such as drug abuse, financial irresponsibility, and mental disorders.

All agencies reported that the training issue remains important. In addition to carrying a heavy workload and additional responsibilities, Division and Branch Chiefs and Team Leaders must design, oversee, and carry out adjudicator training as time permits. All four agencies emphasized the need for effective, standardized training in order to improve the consistency and validity of adjudicator decisions. In the chapter to follow, these needs are further discussed.

CHAPTER IV

Discussion of Major Findings and Needs Identified

Although each of the agencies interviewed has some of the components of a complete adjudicator enhancement program, none has an integrated personnel system (i.e., a system that provides for the recruitment, selection, development, and promotion of adjudicators). Each agency expressed a desire for the establishment of a more valid and integrated adjudicator system to select, train, promote, certify, and engender professionalism.

This chapter examines the extent to which components of such an integrated system exist and describes information relevant to each component. The summary is organized into seven components:

- o The Job of the Adjudicator
- o Procedures/Guidelines
- o Adjudicator Recruitment and Selection
- o Adjudicator Training and Skill Development/Maintenance
- o Performance Assessment
- o Career Development
- o Professionalism and Certification

The Job of the Adjudicator

The job of the adjudicator is very similar within and across the agencies. Where differences occur they seem to be mostly a function of the types of cases handled. Below are listed job characteristics for the 080 Job Series of Personnel Security Specialist. While several recent projects being conducted under PERSEREC guidance are beginning to gather much needed relevant information on adjudicator jobs, no consolidated up-to-date data base of job descriptive information presently exists. The last job/task analysis for this job series was conducted over twenty years ago by the predecessor of OPM.

Major Duties and Tasks

Major job duties and tasks appear to be similar across component agencies. Adjudicators must review and comprehend information on a case, assess the adequacy/inadequacy of the information for making a clearance determination, communicate with investigators and others in the field, integrate and analyze the information gathered, summarize relevant information, make a decision concerning the case, write SORs where appropriate, etc.

Depending upon the types of cases handled, some specialized tasks may be involved. For example, CCF handles telephone adjudication cases for the Army enlistees and Special Programs such as White House/Presidential Support. Other agencies handle SCI cases. Although the different types of cases require application of somewhat different criteria, the adjudication process appears to be similar.

Skills and Abilities.

Similar types of skills and abilities (capabilities) seem to be required to perform adjudication tasks within and across agencies. These are primarily complex cognitive capabilities such as those illustrated in Table 9. In this sample taxonomy developed by McFann and Rigg (1985), higher-level complex cognitive functioning is defined in terms of two well-documented taxonomies of human performance, specifically that of Pawlik (1981) and his associates at the University of Hamburg and of Fleishman (1985) and his associates at the Advanced Research Resources Organization.

Pawlik's factors are aimed at characterizing abstract intellectual functioning, organizing abilities along information input, processing, transformation, and output dimensions. Fleishman's work, on the other hand, is concerned with the cognitive abilities required to perform pragmatic job tasks. (Definitions for both the Pawlik and Fleishman taxonomies are contained in Appendix A.) Such taxonomies can be very powerful and useful in describing the abilities required to perform critical adjudicator tasks and subtasks.

As in most jobs, some adjudicator tasks/subtasks require high-level complex cognitive abilities while others require less complex abilities. One task or group of tasks may require "following standard operating procedures (SOPs)" while another task or group of tasks may require more complex "decision-making/ analysis skills." By mapping the requisite abilities onto each critical task/subtask, it is possible to determine training requirements. Information such as this begins to form the framework for training, job structuring, task organization, and numerous other personnel development programs.

The individuals interviewed repeatedly identified a number of abilities required to perform well as an adjudicator. These abilities included following directives, comprehending both verbal and written information, communicating in writing and verbally, analyzing and synthesizing information, and making judgments and decisions. With the exception of the information provided in the outdated job standards, this type of ability data is not available. Specification and definition of the abilities required to perform adjudicator tasks and subtasks is essential for addressing training issues and for developing an integrated program to enhance adjudicator performance.

TABLE 9

Taxonomy of Complex Cognitive Repertories and
Associated Cognitive Abilities

Numerical Facility
Number Facility
Visual Perception
Speed of Closure
Flexibility of Closure
Spatial Orientation
Visualization
Perceptual Speed
Convergent Reasoning
Mathematical Reasoning
Deductive Reasoning
Inductive Reasoning
Information Ordering
Divergent Reasoning
Fluency of Ideas
Originality
Problem Sensitivity
Category Flexibility
Convergent Verbal Aptitude
Speech Comprehension
Reading Comprehension
Divergent Verbal Aptitude
Speech Expression
Written Expression
Memorization
Memorization
Stimulus Sampling
Vigilance
Timesharing

Knowledges.

A common set of knowledges appears to be required to perform adjudicator tasks both within and across agencies. These knowledges include thorough familiarity with documents such as DoD Directive 5200.2-R. Depending upon the type(s) of clearances handled, additional knowledges may be required. For example, adjudicators handling SCI cases must be thoroughly familiar with DCID Directive No.1/14. Other special knowledges such as understanding the legal process and its implications for a given case, while not mandatory, could prove very useful in the handling of adjudication cases. Agencies without legal staff are becoming more concerned about legal issues due to the potential requirement for adjudicators to testify in court.

Performance Standards and Criteria.

For each adjudicator task and subtask, performance standards and criteria need to be specified; these data do not presently exist. Again, this information is required in the development of training programs and performance assessment measures and can serve as a basis for the certification process.

Procedures/Guidelines

Both within and across agencies there is concern about the inconsistent application of criteria for clearance determinations by different adjudicators. Standardized procedures for applying DoD and DCID criteria are lacking. For example, there are no procedures for quantifying, weighting, and/or summarizing the information within and across criteria for a given case.

Two primary documents are used to make clearance and access determinations: DoD Directive 5200.2-R for collateral clearances and DCID Directive No. 1/14 for access to Sensitive Compartmented Information. In recent months, the DoD criteria have been much improved, specifying both behaviors and mitigating factors. DCID 1/14 criteria do not have the same specificity, and there is a difference in opinion as to the clarity and utility of general vs. specific criteria. Both collateral and SCI lack guidance concerning the interpretation of positive mitigating information.

Many other resource materials are required to perform critical adjudicator tasks. These materials range from telephone directories of key resources, to specialized texts on areas such as mental disorders or drug abuse, to sample formats for SORs or other correspondence. To our knowledge, none of the agencies interviewed has a consolidated, easy-to-use, resource library or adjudicator training aid indexing and consolidating this information.

Adjudicator Recruitment and Selection

Component agency profiles vary markedly in terms of their applicant pool and selection procedures. In some agencies, such as CCF and NCAF, there is a wide range of education and experience in new hires. CCF often hires individuals with prior experience in the investigative field or adjudication; it also hires from clerical positions within the agency. NCAF also has benefited from hiring experienced adjudicators. The future NCAF and the present HQAFINS rely heavily upon clerical personnel to fill adjudicator positions.

Valid adjudicator selection criteria are lacking. The information upon which the present criteria are based is outdated and screening devices do not exist to ensure that appropriate complex cognitive capabilities are present in those hired. Improved selection procedures are needed to more closely reflect job requirements (e.g., oral and written communication, information processing, and decision-making). Lack of adequate selection procedures places an additional burden on the training program.

Adjudicator Training and Skill Development/Maintenance

Adjudicator training and skill development/maintenance concern all the interviewed agencies. A number of factors seem to be working against a successful training program. These include:

- o Heavy workload limits the availability of adjudicators for skill acquisition, development, and maintenance activities.
- o Until recently, each agency has had to develop its own training program using limited resources. This has meant that, for the most part, training has been coordinated and developed by the Division Head as time and money permit.
- o Accurate, up-to-date information about the adjudicator job does not exist. Training programs should be based on solid information, including adjudicator job duties, tasks, subtasks, knowledges, skills, and abilities.
- o None of the agencies interviewed has a training specialist on its staff. Therefore, agencies must rely heavily on experienced adjudicators to conduct training for less experienced trainees. While this mentoring concept is viable, it is highly dependent upon the individual mentor's capabilities and the amount of time that the mentor has for training as compared with performing his/her own heavy workload.

Training programs developed thus far by the agencies have proven valuable; however, these programs reflect the interests and concerns of the particular agency and lack standardization across DoD components. At the present time, some standardized training opportunities exist for more experienced adjudicators.

No standardized training exists for entry-level adjudicators. Entry level adjudicators continue to be trained one-on-one by experienced adjudicators in their own agency. This type of training will most likely continue because it provides adequate time for entry-level personnel to gain the requisite skills; in many instances, only extensive handling of different types of cases can develop such skills. Nevertheless, such practices will continue to result in inconsistencies across adjudicators in a given agency and across the different agencies.

Standardized entry-level training could help to create more consistency within and across agencies. Standardized training for mentoring also could prove helpful. These two types of training, if combined, would begin to ensure that consistent approaches to the job of the adjudicator are passed on to new hires, and it would remove some of the idiosyncracies that are naturally bred into such a decentralized training system.

In part, the difficulty of establishing such a program stems from the lack of accurate information concerning the types of tasks/subtasks performed by entry-level adjudicators at the different agencies. Identification of tasks/subtasks that are most critical, most difficult to learn and maintain, most easily handled in a classroom or mentoring situation, etc., could provide a foundation for the development of standardized approaches to training new hires.

Performance Assessment

Current procedures for assessing adjudicator performance are also inconsistent across agencies. Quantitative factors such as number and types of cases handled, and number of decisions passed "up the ladder," are used in evaluating adjudicator performance. The more difficult to measure qualitative factors, such as difficulty of cases handled, are also considered. Efforts are needed to improve adjudicator assessment procedures including the development of valid quantitative and qualitative measures of performance. Such measures might include indices reflecting the consistency of adjudicator decisions as well as the quality or "goodness" of decisions.

There appears to be no standardized approach to determine whether a given adjudicator is ready for more responsibility; consistent evaluation procedures could provide valuable feedback to both the trainee and his/her supervisor. Also, valid evaluation procedures are critical to the success of an integrated adjudicator development, qualification, and certification program.

Career Development

In all of the agencies interviewed, we found adjudicators identified strongly with their job and viewed adjudication as a professional occupation. This identification appears to have both positive and negative impacts. On the positive side, we found adjudicators are very concerned about doing a good job and about making sound decisions, keeping both the individual and the nation's security in mind. On the negative side, managers expressed concern that their adjudicators have difficulty making decisions; many do not want to make the final clearance/access determination.

Concerns also were expressed about limited career development patterns and opportunities. While there is room to progress from entry-level (GS-5/7) to Team Leader (GS-12) or Branch Chief (GS-13), there are a limited number of these positions available. There appears to be a need for clearly defined alternative paths of progression beyond the adjudicator position of GS-9/11.

Professionalism and Certification

There is a requirement for the development of adjudicator certification procedures. While it appears certification is not likely to be implemented in the near future, the agencies viewed this as a positive step. They were concerned, however, about the development of a valid certification system. Such a system must be based on solid, accurate, and up-to-date information describing critical aspects of the adjudicator's job.

CHAPTER V

Recommendations and Proposed Actions

Needs

Several critical needs were identified. These include:

- o Initial job/task adjudicator skill development training programs
- o Procedures to ensure maintenance and updating of critical adjudicator job skills
- o Centralized core programs and materials to foster standardization of the adjudication process throughout DoD (e.g., job and decision aids, resource documents)
- o Historical adjudicator data base to include type of case, relevant decision criteria applied, and demographics
- o Adjudicator certification and career development programs

The needs delineated above are all interrelated and should not be addressed in isolation. That is, training programs are determined by and, in turn affect, recruitment and selection, classification, performance assessment, certification, and career development programs. Recommendations and proposed actions for their implementation are made from this perspective.

Recommendations

The objectives of the recommendations are to enhance adjudicator performance and to engender professionalism. To meet these objectives, we recommend:

1. The establishment of an automated Adjudicator Management Information System (MIS), and
2. The development and implementation of an integrated Adjudicator Performance Program.

Implementation of these two recommendations will result in a dynamic adjudicator enhancement program.

The remainder of this chapter describes an action plan to carry out these recommendations and to meet the long-term objectives. The plan takes into consideration both the need for short-term outcomes and the reality of dollar, time, and resource constraints. Figure 1 depicts the process for achieving the desired outcomes.

OVERVIEW OF PROPOSED ADJUDICATOR PERFORMANCE ENHANCEMENT PROGRAM

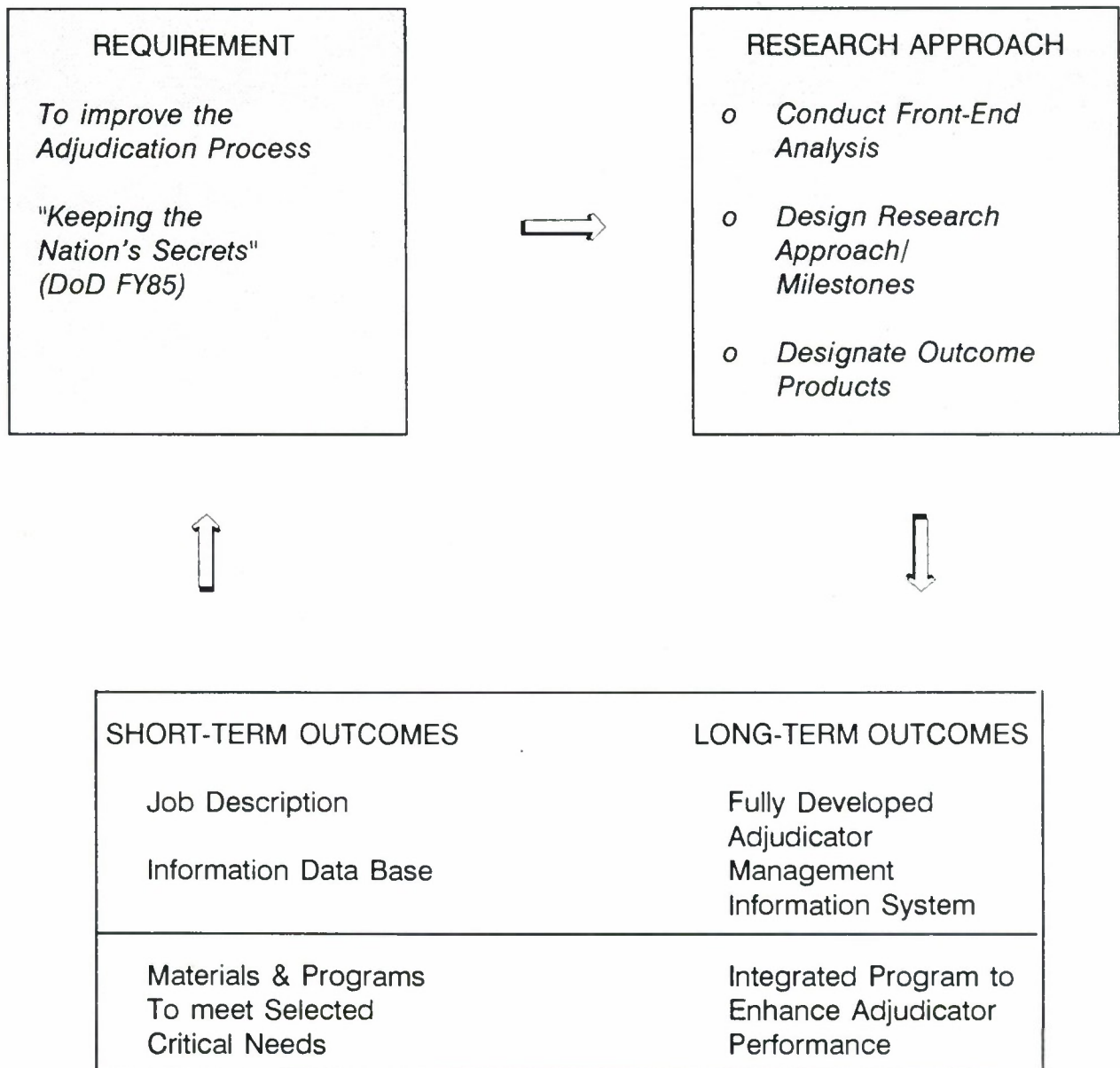


Figure 1.

Recommendation 1. To Develop a Fully-Automated Adjudicator MIS

The proposed Adjudicator MIS will consist of four major data bases:

- A. Job Description Data Base
- B. Career Field Data Base
- C. Population Data Base
- D. Clearance Determination Criteria Data Base

A. Job Description Data Base. A standardized data base of descriptive job information for the 080 Job Series does not exist. Published guidelines from the Office of Personnel Management are more than 20 years old and do not address the current personnel security climate. This type of information is essential to the development of programs to enhance adjudicator performance. It is suggested that PERSEREC oversee the design and development of this data base. Information to be included would be:

- o List of all duties performed by adjudicators
- o List of all tasks/subtasks performed by adjudicators at different levels
- o Ratings of criticality for adjudicator tasks/subtasks. These ratings would include such measures as importance, consequence of error, learning difficulty, time spent, etc.
- o Knowledges, skills, abilities, and materials/information required to perform critical tasks.
- o Performance standards for critical tasks.

These data provide the foundation for development of training programs, decision aids, selection and evaluation procedures, etc.

Recognizing that time, dollar, and resource constraints affect decisions on research to be conducted, a step-by-step approach to the development of a comprehensive adjudicator job description data base is proposed.

- Step 1. A complete listing of job tasks by level, including criticality ratings, should be developed. This information can be used to target other efforts.
- Step 2. For a selected subset of tasks/subtasks, the remaining knowledge, skill, ability, and standards information should be developed. For example, if training is determined to be the highest priority, one could select those tasks/subtasks most critical in terms of consequence of error and learning difficulty.
- Step 3. Specific program components (e.g., training) could then be developed to ensure coverage of these tasks/subtasks, skills and abilities, knowledges, etc.
- Step 4. As time allows, the remaining adjudicator tasks and subtasks could be thoroughly analyzed and added to the data base.

B. Career Field Data Base. This data base would contain all information related to the Adjudicator career field, including the system(s) employed in various organizations and at different job levels, career path information describing the time and performance requirements to move up the career ladder from GS-5 to GS-13, and other factors related to career development. Also included would be recruitment policy and selection procedures, promotion criteria, training options, and performance appraisal/evaluation procedures.

Of particular interest to the present study is training information such as all courses and training opportunities available to adjudicators, the particular grade and experience level at which each type of training is most appropriate, and the content in the curriculum or training experiences, etc. These data in turn can be related back to the Job Description Data Base as new programs are developed and old programs revised.

C. Population Data Base. This data base would contain information on individual adjudicators. It would incorporate data elements from the Defense Manpower Data Center (DMDC) data base (e.g., demographics by person, agency, level, etc.) as well as information related to the following:

- o Source of recruitment
- o Selection scores or criteria
- o Training received (by type, date, format, etc.)
- o Career pattern to date (e.g., positions held, order in which held)
- o Promotions
- o Performance records (e.g., efficiency ratings, training scores, effectiveness measures, etc.)
- o Attrition by reason

These data are important for evaluating the effectiveness of the current adjudicator population in terms of their characteristics (e.g., selection scores, training received) and for examining alternative strategies for the future hiring, promotion, and career development of adjudicators.

D. Clearance Determination Criteria Data Base. This data base would contain information related to specific clearance/access determination criteria as specified by DoD and DCID and implemented within the various agencies. The data would include:

- o Description of each of the 10 criteria
- o Rules for determining and evaluating positive and negative information within each criterion
- o Cases and their frequency by rule/criterion
- o Clearance/access determinations and supporting data
- o Exemplary case studies by determination and criteria (with comments, sample SORs, etc.)

Efforts have been initiated by the NCAF and DISCR to develop a data base of information about adjudicator cases and their determinations. Implementation of a standardized approach for all agencies to use in recording clearance/access decisions would be beneficial. These data will be invaluable in determining the validity of various decisions on security risks and in the development of instructional materials.

Recommendation 2. To Develop and Implement an Integrated Adjudicator Performance Program

The proposed development of an integrated program to enhance adjudicator performance stems directly from information contained in the Adjudicator MIS and in turn results in additional categories of information to be added to the MIS.

The integrated program to enhance adjudicator performance would include:

- o Recruitment and Selection
- o Classification
- o Training
- o Performance Assessment
- o Certification
- o Career Development

As with the development of the Adjudicator MIS, it is recognized that time and dollar constraints may preclude the development of a fully integrated program at the present time. Nonetheless, this is the long term goal. Over the short-term, the goal would be to begin to develop materials and programs to meet selected critical needs. We suggest the initial focus be on developing standardized training programs, decision aids, and job aids.

Standardized training efforts underway should continue to be developed and encouraged to incorporate new information as it is developed. For example, once tasks/subtasks have been identified and listed by level, these tasks/subtasks could be used to verify curriculum for the upcoming adjudicator training course. Likewise, the list of tasks/subtasks performed by entry-level adjudicators could be used in the development of a standardized course for new hires.

In developing training programs, the data base could be queried to determine those tasks/subtasks most appropriate for classroom instruction, self-instruction, and mentoring. If mentoring is involved, then guidelines for the mentor could be developed. For example, a fully developed and tested program on mentoring has been found effective in both industrial and business organizations (Margo Murray-Hicks & Associates, Inc., 1983).

Such a model could be adapted to address the specific mentoring needs of adjudicators.

In a effort similar to that described above for training, tasks/subtasks most appropriate to the development of job and decision aids could be identified. This information could be used to generate resource guides (e.g., desk reference manual), SOPs, or computerized artificial intelligence aids (e.g., automated decision logic trees). The availability of such aids would permit self-instruction and performance enhancement.

Summary of Recommendations

Figures 2 and 3 present a summary of the short-term and long-term program goals described above. Each step in the development of these goals should be carefully undertaken with cognizance of the other factors involved. It is recommended that one of the earliest efforts be development of a limited job description data base to include complete listings of tasks/subtasks performed by adjudicators at various levels. Once such an effort has been completed, criticality ratings can be obtained to target various tasks/subtasks for further analysis.

SHORT-TERM OUTCOMES

- Job Description Information Data Base
For Selected Subset of
Adjudicator Tasks
 - o *Critical Tasks and Subtasks
Performed by Adjudicators*
 - o *Knowledges, Skills and Abilities
(KSAS) Required to Perform Critical
Tasks and Subtasks*
 - o *Standards for Tasks/Subtask Performance*
 - o *Material and Equipment Required*
 - Materials and Programs to Meet
Selected Critical Needs
 - o *Standardized Training Programs*
 - o *Job Aids*
 - o *Decision Aids*
-

Figure 2.

LONG-TERM OUTCOMES

Fully Developed Adjudicator Management Information System

- o *Job Description Data Base*
- o *Career Field Data Base*
- o *Population Data Base*
- o *Clearance Determination Criteria
Data Base*

Integrated Program to Enhance Adjudicator Performance

- o *Selection*
 - o *Classification*
 - o *Training*
 - o *Performance Assessment*
 - o *Certification*
 - o *Career Development*
-

Figure 3.

If entry-level training issues are to be addressed, those tasks performed by entry-level adjudicators could be isolated from the Job Description Data Base and then further analyzed to determine the knowledges, skills, and abilities required to perform those tasks/subtasks, the standards for task/subtask performance, and materials and equipment required. This would begin to fill in the long-term Job Description Data Base. Such information is required to develop job and decision aids, and job performance-based recruitment, selection, classification, training, certification, and career development programs. The impact of implementing the two recommendations would be to meet the operational requirements of improving the adjudication process through:

- o Standardized adjudicator training and development programs
- o Further clarification and specification of clearance determination criteria and rules for their application
- o Adjudicator qualification and certification programs

This would result in increased adjudicator professionalism, including the enhancement of adjudicator performance.

We propose that PERSEREC establish a repository for adjudicator information and assume the responsibility for development of an integrated adjudicator performance system. This is consistent with the PERSEREC mission and would permit a DoD-wide perspective while allowing for individual agency information analysis and program development. Such an integrated program can answer questions, undertake analyses and studies, generate system requirements, evaluate modifications/changes to the total system, and provide for a continuous audit trail of actions and related outcomes.

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APPENDIX

REPERTORY & ABILITY LISTS WITH DEFINITIONS

Pawlick - Cognition Repertoires

From: Fleishman, E.C., and Quaintance, M.K., Taxonomics of Human Performance; The Description of Human Tasks (Appendix B) Orlando, Fla., Academic Press, Inc. 1984.

Pawlick's research (1981) indicated the existence of a limited number of basic factors of cognition that were replicable. He provided definitions for six of the eight factors identified in his research:

1. **NUMERICAL FACILITY:** Dealing with number (simple arithmetic, arithmetical reasoning).
2. **VISUAL PERCEPTION:** Tests involving visual stimulus material. Tests include simple tests of perceptual speed, comparison-length estimation, and perceptual scanning, as well as complex tests of spatial visualization and perceptual closure.
3. **CONVERGENT REASONING:** Inductive and deductive reasoning, whether the stimulus is figural, verbal or a symbol.
4. **DIVERGENT REASONING:** The production of new ideas and new modes of thinking, as opposed to the application of over-learned rules of thought. Tests requiring flexibility, semantic redefinition, sensitivity to problems, and ideational fluency load on this broad factor of creative performance.
5. **CONVERGENT VERBAL APTITUDE:** Tasks requiring active or passive use of one's own native language, as well as individual differences in passive (receptive) linguistic aptitudes.
6. **DIVERGENT VERBAL APTITUDE:** Tests of verbal and semantic fluency (ease and speed in expressing oneself and in producing words meeting a certain formal or semantic requirement).
7. **ASSOCIATIVE MEMORY**
8. **IMMEDIATE MEMORY SPAN**

Ability Category Definitions

From: Fleishman, E.C., and Quaintance, M.K., Taxonomics of Human Performance: The Description of Human Tasks (Appendix B) Orlando, Fla., Academic Press, Inc. 1984.

1. **AUDITORY COMPREHENSION:** This is the ability to understand spoken English words and sentences.
2. **READING COMPREHENSION:** This is the ability to understand written words, phrases, sentences and paragraphs.
3. **ORAL EXPRESSION:** This is the ability to use English words phrases, or sentences in writing so that others will understand.
4. **WRITTEN EXPRESSION:** This is the ability to use English words, phrases, or sentences in understandable speech.
5. **FLUENCY OF IDEAS:** This is the ability to produce a number or ideas about a given topic.
6. **ORIGINALITY:** This is the ability to produce unusual or clever solutions to problems, or the ability to come up with novel solutions to problems or to develop new procedures in situations where standard operating procedures do not apply.
7. **MEMORIZATION:**
 - 7.1 (FLEISHMAN) This is the ability to remember information, such as words,numbers, pictures, procedures. Pieces of information can be remembered by themselves or with other pieces of information.
 - 7.2 (DOHME) This is the ability to learn and retain new information that must be used to accomplish the task.
8. **PROBLEM SENSITIVITY:** This is the ability to tell when something is wrong or likely to go wrong. It includes being able to identify the whole problem as well as the elements of the problem.

9. **MATHEMATICAL REASONING:** This is the ability to understand (use mathematical concepts) and organize a problem and then to select a mathematical method or formula to solve the problem. It includes reasoning through mathematical problems in order to determine appropriate operations which can be performed to solve problems. It also includes the understanding or structuring of mathematical problems.
10. **NUMBER FACILITY:** This is the ability to manipulate numbers in numerical operations, such as, addition, subtraction, multiplication and division.
11. **DEDUCTIVE REASONING:** This is the ability to apply general rules (or concepts) to specific problems to come up with logical answers. It involves deciding if an answer makes sense. (In this type of reasoning, one progresses from the whole to the parts.
12. **INDUCTIVE REASONING:**
- 12.1 (FLEISHMAN) This is the ability to combine separate pieces of information, or specific answers to problems, to form general rules or conclusions. This involves the ability to think of possible reasons why things fit together.
- 12.2 (DOHME) This is the ability to find the most appropriate general concepts or rules that explain a set of data or that explain how individual items are related to each other. It involves the ability to synthesize or combine from separate facts,, and to logically proceed from individual cases to general conclusions. It also involves the ability form testable assumptions about relationships among items or data.
13. **INFORMATION ORDERING:** This is the ability to correctly follow a rule or set of rules to arrange things or actions in a certain order. The rule or set of rules to be used must already be given. The things or actions to be put in order can include numbers, letters, words, pictures, procedures, sentences, and mathematical or logical operations.
14. **CATEGORY FLEXIBILITY:** This is the ability to produce many rules so that each rule tells how to group a set of things in a different way. Each different group must contain a least two things from the original set of things. What's wrong with ()...(U)?

15. **SPEED OF CLOSURE:** This ability involves the degree to which different pieces of information can be combined and organized into one meaningful pattern quickly. It is not known beforehand what the pattern will be. The material may be visual or auditory.

(**CLOSURE:** This is the ability to combine visual or auditory information into a meaningful pattern, when the pattern is not known beforehand.)

16. **FLEXIBILITY OF CLOSURE: (PATTERN RECOGNITION:)** This is the ability to identify or detect a known pattern (like a word, figure, object) that is hidden in other material. The task is to pick out the pattern you are looking for from the background material.

17. **SPATIAL ORIENTATION:** This is the ability to tell where you are in relation to the location of some object or to tell where the object is in relation to you.

18. **VISUALIZATION:** This is the ability to imagine how something will look when it is moved around or when its parts are moved or rearranged. It requires the forming of mental images or what patterns or objects would look like after certain changes such as unfolding or rotation are made.

19. **PERCEPTUAL SPEED:** This ability involves the degree to which one can compare letters, numbers, objects, pictures, or patterns, both quickly and accurately. The things to be compared may be presented at the same time or one after the other. This ability also includes comparing a presented object with a remembered object.

(**JUDGEMENT:** This is the ability to accurately compare objects, i.e., patterns, information, pictures, things, or actions. The comparison may be between paired objects, objects presented sequentially, or present objects and remembered objects.)

20. **SELECTIVE ATTENTION:** This is the ability to concentrate on a task one is doing and not be distracted. When distraction is present, it is not a part of the task being done. This ability also involves concentrating while performing a boring task.

21. **TIME SHARING:** This is the ability to shift back and forth between two or more sources of information.